



APW

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Re the Application of:

BART MUNRO, ET AL.

Application No.: 10/606,410

Filed: June 25, 2003

For: **METHOD TO FACILITATE A SEARCH  
OF A DATABASE UTILIZING  
MULTIPLE SEARCH CRITERIA**

Art Group: 3624

Examiner: Unknown

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed for applications filed after June 30, 2003). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

It is hereby stated that no item of information contained in the Information Disclosure Statement was cited in a patent office in a counterpart application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to any individual associated with the filing or prosecution of the subject application more than three months prior to the filing of the Information Disclosure Statement.

The references were cited in a Search Report dated November 26, 2003 (copy enclosed herewith) in a counterpart PCT application, which was forwarded to Applicant's Representative in a communication dated November 26, 2003.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Applicant has concurrently submitted an electronic Information Disclosure Statement(s). Any fees that are required for submission of an Information Disclosure Statement were included in the electronic submission. Applicant respectfully requests that one submitted fee be accepted for the second and any subsequent Information Disclosure Statement submissions.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: 7-1-04

Nathan P. Elder  
Nathan P. Elder, Reg. No. 55,150

12400 Wilshire Boulevard, 7th Floor  
Los Angeles, CA 90025  
Telephone: (408) 947-8200

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Geneva Walls 7/2/04  
Geneva Walls Date

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



Complete if Known

Application Number	10/606,410
Filing Date	June 25, 2003
First Named Inventor	Munro, Bart
Group Art Unit	3624
Examiner Name	Unknown

Sheet 1 of 4

Attorney Docket No: 3801P097

	FR-2658635	02/06/1991	Mourad, Assabgui			
	JP-02207898	07/26/2002	Yamamoto, Hiroshi			
	NL-9300266	02/10/1993	Hubertus, Theodoor , et al.			
	WO-0058862	10/05/2000	Kinney, Sam E., et al.			
	WO-0182115	11/01/2001	Wang, Bill H.			
	WO-03/038560	05/08/2003	Kotas, Paul , et al.		A2	
	WO-03038560	05/08/2003	Kotas, Paul , et al.		A3	
	WO-9215174	09/03/1992	Grusin, Hillard T., et al.			
	WO-9517711	06/29/1995	Boulton, David A., et al.			
	WO-9634356	10/31/1996	Woolston, Thomas G.			
	WO-9737315	10/09/1997	Fisher, Alan S., et al.			
	WO-9963461	12/09/1999	Dinwoodie, David , et al.			

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"Andale Lister, <a href="http://www.andale.com/corp/products/sell.jsp">http://www.andale.com/corp/products/sell.jsp</a> .", (12/18/02),1-3	
		"Andale Lister: Bulk List, <a href="http://www.andale.com/corp/products/qs_sell_details_bulklist.jsp">http://www.andale.com/corp/products/qs_sell_details_bulklist.jsp</a> .", (12/18/02),p 1	
		"Andale Lister: In-line Images, <a href="http://www.andale.com/corp/products/qs_sell_details_inlineimg.jsp">http://www.andale.com/corp/products/qs_sell_details_inlineimg.jsp</a> .", (12/18/02),1-2	
		"Andale Lister: Online or Offline, <a href="http://www.andale.com/corp/products/qs_sell_details_onoffline.jsp">http://www.andale.com/corp/products/qs_sell_details_onoffline.jsp</a> .", (12/18/02),1-2	
		"Andale Lister: Design Center, <a href="http://www.andale.com/corp/products/qs_sell_details_designcenter.jsp">http://www.andale.com/corp/products/qs_sell_details_designcenter.jsp</a> .", (12/18/02),1-2	
		"Andale Lister: Inventory Dashboard, <a href="http://www.andale.com/corp/products/qs_sell_details_invdashboard.jsp">http://www.andale.com/corp/products/qs_sell_details_invdashboard.jsp</a> .", (12/18/02),1-2	
		"Andale Lister: Launch Scheduler, <a href="http://www.andale.com/corp.products/qs_sell_details_launchsched.jsp">http://www.andale.com/corp.products/qs_sell_details_launchsched.jsp</a> .", (12/18/02),1-2	
		"Andale Overview, <a href="http://www.andale.com/corp/products/qs_overview.jsp">http://www.andale.com/corp/products/qs_overview.jsp</a> .", (12/18/02),1-4	
		"Anonymous Delivery of Goods in Electronic Commerce", <u>IBM Technical Disclosure Bulletin</u> , Vol. 39, No. 3., (3/96),363-366	
		"International Search Report", PCT/US00/17136, (6/21/00),	
		"International Search Report", PCT/US01/23854, (7/24/01),	
		"International Search Report", PCT/US02/04692, (2/11/02),	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional) <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/606,410
Filing Date	June 25, 2003
First Named Inventor	Munro, Bart
Group Art Unit	3624
Examiner Name	Unknown

Sheet 2 of 4

Attorney Docket No: 3801P097

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"International Search Report", PCT/US99/18510, (8/12/99),	
		"International Search Report", PCT/US01/12398, (4/16/01),	
		"International Search Report", PCT/US01/04811, (2/14/01),	
		"International Search Report", PCT/US03/17915, (11/26/2003),	
		"International Search Report", PCT/US99/29312, (12/8/99),	
		"International Search Report", PCT/US00/32088, (11/20/00),	
		"International Search Report", PCT/US01/02584, (1/26/01),	
		"Mediapraise", <u>Mediapraise receives national award for web-based technology that enables companies to solve thorn HR problem. Business Editors.</u> , (12/14/98),	
		"Onsale Joins Fray as Online Shopping Picks up Speed: INTERNET BOOMS", <u>Computer Reseller News, (www.dialogweb.com).</u> , (6/5/95),p 73	
		"Onsale: Onsale Brings Thrill of Auctions and Bargain Hunting Online; Unique Internet Retail Service Debuts With Week-long Charity Auction for the Computer Museum in Boston, Dialog Web. 0489267 BW0022.", (5/24/95),p 3	
		"Personal Optimized Decision/Transaction Program", <u>IBM Technical Disclosure Bulletin, Vol. 38, No. 1.</u> , (1/95),83-84	
		"Subasta.com Enters Into Strategic Partnership With From2.com", <u>Business Wire, 06242815 Dialog File 20: see page 1.</u> , (7/16/99),	
		"Subasta.com The Premier Online Auction Board for Latin America, Spain, and the Hispanic Sector of the U.S., Has Attracted Over 60,000 Viewers in Less Than Two Months!", <u>Business Wire, 06240372 Dialog File 20: see all pages.</u> , (7/16/99),	
		"United Technologies: UTC's Carrier Corp. Teams With FreeMarkets to Create Largest Asian-based B2B Online Auction Market to Date; UTC Division Identifies Average Annual Savings of More Than 16 Percent on Electric Motors Through FreeMarkets B2B Marketplace", <u>M2 Presswire, 10190474 Dialog File 20: see all pages.</u> , (3/22/00),	
		"Yahoo! Auctions Celebrates One-Year Anniversary; As Online Auction Usage Continues to Grow, Yahoo! is Quickly Becoming The World Marketplace of the New Millennium.", <u>Business Wire, 07211889 Dialog File 20: see all pages.</u> , (9/14/99),	
		AKIN, D , "Web Retailing Gains Market Muscle As Concerns Fade: Record Season: Increasing Number of Sites Catering For Canadian Dollar", <u>Financial Post, 03856053 Dialog File 20: see all pages.</u> , (12/26/98),7	
		CLEMONS, E , "Evaluating the Prospects for Alternative Electronic Securities Markets", <u>International Conference on Information Systems, Vol 12.</u> , (1991),53-61	
		GRAHAM, I , "The Emergence of Linked Fish Market in Europe", <u>Focus Theme, No Date Given.</u>	
		HESS, C M , et al., "Computerized Loan Organization System: An Industry Case	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional) <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/606,410
Filing Date	June 25, 2003
First Named Inventor	Munro, Bart
Group Art Unit	3624
Examiner Name	Unknown

Sheet 3 of 4

Attorney Docket No: 3801P097

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Study of the Electronic Markets Hypothesis", <u>MIS Quarterly</u> , Vol. 18, No. 3., (9/94),251-274	
		KLEIN, S , "Introduction to Electronic Auctions", <u>Focus Theme</u> , No Date Given.,	
		LEE, H G , "AUCNET: Electronic Intermediary for Used-car Transactions", <u>Focus Theme</u> , No Date Given.,	
		LEE, HO G., "Electronic Brokerage and Electronic Auction: The Impact of IT on Market Structures", <u>Proceedings of the 29th HICSS</u> , Vol. IV., (1996),397-406	
		MALONE, T W , et al., "Electronic Markets and Electronic Hierarchies", <u>Communications - of the ACM</u> , Vol. 30, No. 6., (6/87),484-497	
		MARDESICH, J , "Onsale Takes Auction Gavel Electronic", <u>Computer Reseller News</u> , Page 2 continued on Page 32., (7/8/96),	
		MASSIMB, M N , et al., "Electronic Trading, Market Structure and Liquidity", <u>Financial Analyst Journal</u> , Vol 50, No. 1., (2/94),39-50	
		MEADE, JIM , "Visual 360: a Performance Appraisal System That's Fun", <u>HR Magazine</u> , (Dialog file), (7/99),	
		MERRILL, KEVIN , "GE Capital to Extend Integrator Buying Spree", <u>Computer Resell News</u> , <a href="http://www.crn.com">http://www.crn.com</a> , (7/8/96),p 31-32	
		NEO, B S , "The Implementation of an Electronic Market for Pig Trading in Singapore", <u>Journal of Strategic Information Systems</u> , Vol 1, (12/92),278-288	
		POST, D L , et al., "Application of Auctions as a Pricing Mechanism fo the Interchange of Electric Power", <u>IEEE Transactions on Power Systems</u> , Vol. 10, No. 3., (8/95),7	
		PRIEST, CHRIS , et al., "Adaptive Agents in a Persistent Shout Double Auction", <u>Proceedings of the First International Conference on Information and Computation Economies</u> , Charleston, US, (10/98),25-281	
		RECK, MARTIN , "Formally Specifying and Automated Trade Execution System", <u>Journal of Systems and Software</u> , Vol. 21., (1993),245-252	
		RECK, MARTIN , "Trading-Process Characteristics of Electronic Auctions", <u>Focus Theme</u> , No Date Given.,	
		RESNICK, PAUL , et al., "Reputation Systems", <u>Association for Computing Machinery, Communications of The ACM</u> , Vol 43, No. 12, (Dialog file), 45-48	
		ROCKOFF, T E , et al., "Design of an Internet-based system for Remote Dutch Auctions", <u>Internet Research - Electronic Networking Applications and Policy</u> , Vol 5, No. 4., (1/1/95),10-16	
		SCHMID, B F , "The Development of Electronic Commerce", <u>Newsletter of the Competence Centre Electronic Markets</u> , No. 9/10., (10/93),	
		SIEGMANN, KEN , "Nowhere to go bu up", <u>PC Week</u> , Vol. 12, No. 42 ( <a href="http://www.dialogweb.com">www.dialogweb.com</a> ), (10/23/95),1-3	
		TJOSTHEIM, I , "A Case Study of an On-line Auction for the World Wide Web", <u>Norwegian Computing Center</u> , No Date Given, <a href="http://www.lnr.no.gem.elcom.publikasjoner.enter98e.html">www.lnr.no.gem.elcom.publikasjoner.enter98e.html</a> ,	

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.<sup>1</sup> Applicant's unique citation designation number (optional) <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/606,410
Filing Date	June 25, 2003
First Named Inventor	Munro, Bart
Group Art Unit	3624
Examiner Name	Unknown

Sheet 4 of 4

Attorney Docket No: 3801P097

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		TURBAN, E , "Auctions and Bidding on the Internet an Assessment", <u>Focus Theme, No Date Given.</u>	
		VAN HECK, E , et al., "Experiences with Electronic Auctions in the Dutch Flower Industry", <u>Focus Theme, No Date Given.</u>	
		WARBELOW, A , et al., "Aucnet: TV Auction Network System", <u>Havard Business School Case/Study, HBVR #9-190-001, USA, (7/89), 1-15</u>	
		ZWASS, VLADIMIR , "Electronic Commerce: Structures and Issues", <u>International Journal of Electronic Commerce, Fall, Vol. 1, No. 1, (www.cba.bgsu.edu).</u> , (1996), 3-23	

**EXAMINER****DATE CONSIDERED**

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 809. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional) <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No.	10/606,410
Filing Date	June 25, 2003
First Named Inventor	Bart Munro
Art Unit	3624
Examiner Name	Unknown
Attorney Docket Number	3801P097

Total Number of Pages in This Submission 9

## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
  - ☐ Fee Attached
- ☐ Amendment / Response
  - ☐ After Final
  - ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
  - ☒ PTO/SB/08
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/Incomplete Application
  - ☐ Basic Filing Fee
  - ☐ Declaration/POA
  - ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s)

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):

Sixty-five (65) References Cited; Eighty-two (82) References Electronically Cited on 7/2/04; Postcard.

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Nathan P. Elder, Reg. No. 55,150 BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	<i>Nathan P. Elder</i>
Date	7-1-04

## CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name	Geneva Walls		
Signature	<i>Geneva Walls</i>	Date	7/2/04



# FEE TRANSMITTAL for FY 2004

Effective 01/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

(\$)

## Complete if Known

Application Number	10/606,410
Filing Date	June 25, 2003
First Named Inventor	Bart Munro
Examiner Name	Unknown
Art Unit	3624
Attorney Docket No.	3801P097

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☒ None  
☒ Deposit Account

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☒ Charge any additional fee(s) or underpayment of fees as required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	770	2001	385	Utility filing fee	
1002	340	2002	170	Design filing fee	
1003	530	2003	265	Plant filing fee	
1004	770	2004	385	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	

### 2. EXTRA CLAIM FEES

Total Claims  - 20\* =  X  =   
Independent Claims  - 3 =  X  =   
Multiple Dependent  =

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	86	2201	43	Independent claims in excess of 3	
1203	290	2203	145	Multiple Dependent claim, if not paid	
1204	86	2204	43	**Reissue independent claims over original patent	
1205	18	2205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	

\*or number previously paid, if greater, For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
2053	130	2053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	420	2252	210	Extension for reply within second month	
1253	950	2253	475	Extension for reply within third month	
1254	1,480	2254	740	Extension for reply within fourth month	
1255	2,010	2255	1,005	Extension for reply within fifth month	
1404	330	2401	165	Notice of Appeal	
1402	330	2402	165	Filing a brief in support of an appeal	
1403	290	2403	145	Request for oral hearing	
1451	1,510	2451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,330	2453	665	Petition to revive - unintentional	
1501	1,330	2501	665	Utility issue fee (or reissue)	
1502	480	2502	240	Design issue fee	
1503	640	2503	320	Plant issue fee	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	770	1809	385	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	770	2810	385	For each additional invention to be examined (37 CFR § 1.129(b))	
1801	770	2801	385	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	
Other fee (specify)					
SUBTOTAL (3)				(\$)	

\* Reduced by Basic Filing Fee Paid

## SUBMITTED BY

Name (Print/Type)

Nathan P. Elder

Registration No.  
(Attorney/Agent)

55,150

Telephone

(408) 947-8200

Signature

Nathan P. Elder

Date

7-1-04